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UNITED STATES PATENT AND TRADEMARK OFFICE  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/712,059	11/14/2000	Andre S. Lee	5850772-0003

007470  
WHITE & CASE LLP  
PATENT DEPARTMENT  
1155 AVENUE OF THE AMERICAS  
NEW YORK, NY 10036

## FORMALITIES LETTER



\*OC000000005836782\*

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Date Mailed: 03/07/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

01/29/2002 TV0111 00000008 231703 09712059

01 FC:205 65.00 CH

*A copy of this notice MUST be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY



#3 SECTOR  
5850772-0003

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : Andre S. Lee  
Serial No. : 09/712,059  
Filed : November 14, 2000  
For : METHOD AND SYSTEM FOR EXECUTING  
FINANCIAL TRANSACTIONS VIA A  
COMMUNICATIO MEDIUM  
Examiner : To be assigned  
Group Art Unit : 2161

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I hereby certify that this paper is being deposited  
with the United States Postal Service as  
first class mail in an envelope addressed to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231.

John M. Genova 32,224  
Name of Sender PTO Reg. No.

John M. Genova September 7, 2001  
Signature Date of Signature

01/25/2002 TV0111 00000008 231705 07712057

02 FC:218 695.00 CH

**REPLY TO NOTICE TO FILE**  
**MISSING PARTS OF APPLICATION AND**  
**FILING OF POWER OF ATTORNEY**

BOX MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Responsive to the Notice to File Missing Parts of Application ("Notice"), mailed March 7,  
2001, enclosed herewith is the Declaration/Power of Attorney for Patent Application signed by

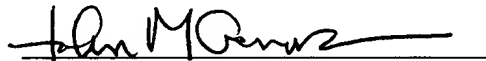
Responsive to the Notice to File Missing Parts of Application ("Notice"), mailed March 7, 2001, enclosed herewith is the Declaration/Power of Attorney for Patent Application signed by the inventor, along with a copy of the Notice.

Applicant is a small entity. Accordingly, authorization is hereby given to charge Deposit Account No. 23-1703 in the amount of Sixty-five Dollars (\$65.00) to cover the fee under 37 C.F.R. §1.16(e) for providing a late declaration, and Six Hundred and Ninety-five Dollars (\$695.00) to cover the extension fee required pursuant to 37 C.F.R. §§1.17(a)(4) and 1.136(a)(1).

If any additional fee is required with this communication, authorization is hereby given to charge any such fee to Deposit Account No. 23-1703.

Dated: September 7, 2001

Respectfully submitted,



John M. Genova  
Reg. No. 32,224  
Attorney for Applicant

Customer No. 007470  
Attorney Direct Dial : (212) 819-8832

Enclosure